



SECTION 2 FORMS PTO/SB/08A and 08B (formerly Form PTO-1449)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Percival Attorney Docket: 1348/111  
Serial No: 10/709,040 Art Group Unit: 2186  
Date Filed: April 8, 2004 Examiner Name: N/A  
Invention: A Method and System for Coherently Caching I/O Devices Across a Network

LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANT'S INFORMATION DISCLOSURE STATEMENT

Examiner Initials	Reference Number	Document Number	Issue Date	Inventor	Class/Subclass
M.N.	AA	3,820,078	June 25, 1974	Curley et al.	395/250
	AB	4,755,930	Jul. 5, 1988	Wilson, Jr. et al.	395/449
	AC	4,775,955	Oct. 4, 1988	Liu	395/472
	AD	4,849,879	Jul. 18, 1989	Chinnaswamy et al.	395/60
	AE	5,025,366	Jun. 18, 1991	Baror	395/455
	AF	5,060,144	Oct. 22, 1991	Sipple et al.	395/726
	AG	5,062,055	Oct. 19, 1991	Chinnaswamy et al.	364/551.01
	AH	5,067,071	Nov. 19, 1991	Schanin et al.	395/293
	AI	5,091,846	Feb. 25, 1992	Sachs et al.	395/250
	AJ	5,136,691	Aug. 4, 1992	Baror	395/466
	AK	5,185,878	Feb. 9, 1993	Baror et al.	395/450
	AL	5,241,641	Aug. 31, 1993	Iwasa et al.	395/449
	AM	5,265,235	Nov. 23, 1993	Sindhu et al.	395/447
	AN	5,282,272	Jan. 25, 1994	Guy et al.	395/200.0
	AO	5,307,506	Apr. 26, 1994	Colwell et al.	395/800
	AP	5,323,403	Jun. 21, 1994	Elliott	371/37.6
	AQ	5,335,327	Aug. 2, 1994	Hisano et al.	395/250
	AR	5,347,648	Sept. 13, 1994	Stamm et al.	395/182.0
	AS	5,353,430	Oct. 4, 1994	Lautzenheiser	395/444
M.N.	AT	5,363,490	Nov. 8, 1994	Alferness et al.	395/581

<u>M.N.</u>	AU	5,390,318	Feb. 13, 1995	Ramakrishnan et al.	395/485
	AV	5,426,747	Jun. 20, 1995	Weinreb et al.	395/413
	AW	5,606,681	February - 1997	Smith et al.	395/445
	AX	5,452,447	November - 1995	Nelson et al.	395/440
	AY	5,566,315	October - 1996	Milillo et al.	395/440
	CZ	5,301,290	Apr. 5, 1994	Tetzlaff et al.	395/425
<u>M.N.</u>	DA	5,408,653	Apr. 18, 1995	Josten et al.	395/600

### Foreign Patent Documents

Examiner Initials	Reference Number	Document Number	Issue Date
<u>M.N.</u>	AZ	JP64-36351	May 24, 1989

### OTHER REFERENCES

<u>Exam.</u> <u>Init.</u>	<u>Ref.</u> <u>No.</u>	<u>Document</u>
<u>M.N.</u>	BA	"The Stanford Dash Multiprocessor", Lenoski et al., Computer, IEEE Computer Society, March 1992, pp. 63-79.
	BB	"Cache-Coherency Protocols Keep Data Consistent", Gallant, J., Electronic Technology for Engineers and Engineering Managers, March 14, 1991.
	BC	"Disk Cache Replacement Policies for Network Fileservers", Willick, D.L., Distributed Computing Systems, 1993 Int'l. Conf., pp.2-11.
	BD	"xFS; A Wide Area Mass Storage File System", Wang, Randolph Y. et al., Workstation Operating Systems, 1993, pp. 71-178.
	BE	"Linked List Cache Coherence for Scalable Shared Memory Multiprocessors", Thapar, Manu et al., Parallel Processing, 1993 Symposium, pp. 34-43.
	BF	"The S3 Manufacturing Procedure Scalable Shared Memory Multiprocessor", Nowatzky, Andreas et al., System Sciences, 1994 Ann. Hawaii Int'l. Conf., Vol. I, 1/4/94, pp. 144-153.
<u>M.N.</u>	BG	TURBOCACHET™/TURBODISK™ Software Product Description, EEC Systems, Incorporated, Revised February 24, 1992.

M-N

- BH TURBOCACHETM/TURBODISK™ Quick Start Guide, EEC Systems Incorporated, February 24, 1992
- BI TURBOCACHETM Software Product Description, EEC Systems, Incorporated, Revised: February 24, 1992
- BJ TURBOCACHETM/TURBODISK™, Cover Letter and Release Notes (\*read me first\*), EEC Systems, Incorporated, February 24, 1992.
- BK TURBOCACHETM/TURBODISK™ Software Installation and User's Guide, EEC Systems Incorporated, February 24, 1992.
- BL "SuperCache™ - Open VMS I/O Performance Accelerator", Software Product Description SuperCache™, 1992, 1993 Turbo Systems International s.a.
- BM "SuperCache™ V.1.2 User and Installation Guide, a TurboWare™ Product", V1.2-08.
- BN "VMS File System Internals" Kirby McCoy, Digital Press, Digital Equipment Corporation, 1990.
- BO "The VAX/VMS Distributed Lock Manager", Snaman, Jr., William E et al., *Digital Technical Journal*, No. 5, Sept. 1987
- BP "The Design and Implementation of a Distributed File System", Goldstein, *Digital Technical Journal*, No. 5, Sept. 1987
- BQ "File System Operation in a VAXcluster Environment", Chapter 8, *VMS File System Internals, McCoy, Digital Press, 1990*
- BR Howard, John, "An Overview of the Andrew File System", USENIX Winter Conference, Feb. 9-12, 1988, Dallas, Texas
- BS Tanenbaum, Andrew S., "Operating Systems: Design and Implementation", Prentice-Hall, Inc., 1987
- BT Gray, Cary G. et al., "Leases: An Efficient Fault-Tolerant Mechanism for Distributed File Cache Consistency", 1989 ACM 089791-338-3/89/0012/0202
- BU Macklem, Rick, "Lessons Learned Tuning the 4.3BSD Reno Implementation of the NFS Protocol", USENIX, Winter'91, Dallas, Texas
- BV Kazar, Michael L., "Synchronization and Caching Issues in the Andrew File System", USENIX Winter Conference, Feb. 9-12, 1988, Dallas, Texas
- BW Sinniah, Raymond R., "An Introduction to the Andrew File System" <http://homepages.uel.ac.uk/5291n/afs/afsdoc.html>

M-N

M-N. BX Duncan, Ray, "Design Goals and Implementation of the New High Performance File System", *Microsoft Systems Journal*, Sept. 1989, Vol. 4, No. 5

M-N. BY Bell, Les, "OS/2 High Performance File System",  
<http://www.lesbell.com.ati/hpfstest.html>

BZ Kumar, Puneet et al., "Log-Based Directory Resolution in the Coda File System", 1993 IEEE 0-8186-3330-1/93

CA Mogul, Jeffrey C., "A Recovery Protocol for Spritely NFS", USENIX Association File Systems Workshop, May 21-22, 1992, Ann Arbor, Michigan

CB Seltzer, Margo et al., "An Implementation of a Log-Structured File System for UNIX", 1993 Winter USENIX, Jan. 25-29, 1993, San Diego, California

CC McKusick, Marshall et al., "The Network Filesystem", Chapter 9 of "The Design and Implementation of the 4ABSD Operating System", 1996

CD PC Tech, "Understanding the OS/2 CONFIG-SYS File", PC Magazine

CE Jang, Saqib, "NFS and DFS A Functional Comparison", AUSPEX Technical Report 15, April 1997

CF Transarc Corporation, "The AFS File System in Distributed Computing Environments", May 1, 1996

CG Mena, Agustin et al., "Performance Characteristics of the DCE Distributed File Service", IBM Distributed Computing Environment White Paper

CH "Global File Sharing", Sun Microsystems, Inc., 1996

CI "NFS Performance", Sun Microsystems, Inc., 1996

M-N. CJ "OS/2's History and Purpose"  
<http://sunsite.nus.sg/pub/os2/phamiacy/Should-Mstory-andPurpose.html>

M-N. CK "1.05a Cache Manager", AFS distributed tilesystem FAQ,  
<http://www.cis.ohio state.edu/hypertext/faw/usenet/afs-faq/faw-doc-14.html>

CL "1.2.7 Distributed File System", IBM Book Manager Book Server, 1989, IBM Corporation, 1996

CM "5.3.3 HPFS386 Architecture", IBM Book Manager Book Server, 1989, IBM Corporation; 1996

M-N. CN "HPFS and Fat File Systems Description",  
<http://www.022bbs.com/file-c/tips/DIHPFT.FAX>

*M-N*

CO Bowen, Ted S. "EEC ups ante in VMS disk caching arena with three-tiered package for VAXClusters." Digital Review, Cahners Publishing Co., March 16, 1992 v9 n6 p6(1).

CP "I/O Express User's Guide", Executive Software International, Glendale, CA.; June 1990.

CQ "I/O Express Technical Reports", Executive Software International, Glendale, CA.; February 1992 - January 1993.

CR "Field Test Guide for I/O Express Dynamic Data Caching for VAX/VMS", Executive Software, Glendale, CA.' 9/1989.

CS "Diskeeper User's Guide V2.1- Errata", Executive Software, Glendale, CA.; April 1989.

CT "Executive Software's Newkeeper", Executive Software, Glendale, CA.; Vol. 4 Issue 4, 1991.

CU "SuperCache-Open VMS I/O Performance Accelerator", TurboSystems International s.a., distributed by EEC Systems, Inc., Sudbury, MA. 1993

CV "Executive Software's Newskeeper", Executive Software, Glendale, CA., Vol. 3, Issue 8, May/June 1990.

CW "Executive Software's Newskeeper", Executive Software, Glendale, CA., Vol. 3, Issue 9, July/August 1990.

CX "Executive Software's Newskeeper", Executive Software, Glendale, CA., Vol. 4, Issue 1, 1991.

*M-N*

CY "Executive Software's Newskeeper", Executive Software, Glendale, CA., Vol. 4, Issue 3, 1991

Examiner Signature:

*[Signature]*

Date Considered:

*8/29/04*

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation *if not* in conformance and not considered. Include copy of this form with next communication to applicant.